

UNITED STATES DEPARTMENT OF AGRICULTURE
FOOD SAFETY AND INSPECTION SERVICE
WASHINGTON, DC

FSIS DIRECTIVE

5500.2
Revision 1

7/16/07

NON-ROUTINE INCIDENT RESPONSE

I. PURPOSE

This directive outlines the procedures that the Emergency Management Committee (EMC) is to follow while managing a non-routine incident.

Key Points:

- *incorporates information on utilizing the new Non-Routine Incident Management System (NRIMS) to track and manage non-routine incidents*
- *provides instructions for completing, and information on accessing, FSIS Form 5500-4, Non-Routine Incident Report (NRIR)*
- *provides instructions for FSIS Form 5500-8, Impact of Non-Routine Incidents on Establishments, Warehouses and Import Houses*

II. CANCELLATION

FSIS Directive 5500.2, 7/19/06

FSIS Notice 42-06, 7/19/06

III. REASON FOR REISSUANCE

This directive is being reissued in its entirety to provide instructions on how to use the new web based Non-Routine Incident Management System (NRIMS) for non-routine incidents. The EMC is to use this system when non-routine incidents occur. NRIMS is designed to help the EMC to effectively manage non-routine incidents by electronically disseminating Non-Routine Incident Reports (NRIRs). This directive also provides instructions on how to use FSIS Form 5500-8.

IV. REFERENCES

9 CFR Part 300 to end

DISTRIBUTION: Electronic

OPI: OPPED

V. BACKGROUND

A. A non-routine incident presents a grave or potentially grave threat to public health involving FSIS-regulated product. Examples of non-routine incidents include:

1. widespread, or life-threatening, human illnesses potentially implicating FSIS-regulated product;
2. deliberate contamination of FSIS-regulated product;
3. threat condition Orange or Red with a specific threat to the food and agricultural sector;
4. widespread animal disease with potentially significant public health implications for FSIS-regulated product;
5. ineligible foreign product in the United States (U.S.)
6. high risk products in the US as identified by Customs and Border Protection; and
7. suspicious activities observed by program personnel while performing their normal duties.

B. Additional situations that FSIS may consider as non-routine incidents include:

1. natural disasters (e.g., hurricanes, tornadoes, earthquakes);
2. terrorist attacks on the nation's critical infrastructures; and
3. other Incidents of National Significance (INS) that result in the activation of the Emergency Support Function -11 (ESF-11), which are described in the Agriculture and Natural Resources Annex to the National Response Plan.

NOTE: This directive does not address routine incidents. Routine incidents include most product recalls, consumer complaints, and reports of non-life threatening and isolated cases of human illnesses caused by FSIS-regulated product.

VI. AGENCY PERSONNEL RESPONSIBILITIES FOR REPORTING A NON-ROUTINE INCIDENT

A. Agency personnel are to immediately report any potential non-routine incident through supervisory channels. The information reported, at a minimum, is to include:

1. the name of the person who reported the incident,

2. date and time of the incident,
3. location of the incident,
4. the type of threat, hazard, or disease,
5. the type of product involved, and
6. number of reported illnesses and deaths (if applicable).

B. Designated personnel with access to NRIMS will review the incident information and if appropriate, develop the NRIR and enter the report into NRIMS.

1. The electronic NRIR form can be accessed through NRIMS via the following internet link: <http://nrims.fsis.usda.gov>

2. The electronic NRIR in the NRIMS automatically saves the NRIR as its case number. The case number is derived using the following: year, month, day-number of NRIR entered that day, e.g. 20070130-01.

3. All NRIRs in NRIMS are automatically forwarded to the Office of Food Defense and Emergency Response (OFDER) and the program area Assistant Administrator (AA), or their designees, for review or approval following the automated process outlined in Attachment 1.

4. Program offices are to update the NRIR as often as necessary through NRIMS. The most recent information will appear first on the NRIR.

NOTE: If the electronic system is non-operational, incident information and the NRIR, if appropriate, should be transmitted via fax to the AAs.

VII. REVIEW OF THE NRIR

A. The OFDER AA and the AA responsible for the NRIR, or their designees, will review the submitted NRIR and, as appropriate, decide:

1. that no action is required at this time,
2. to pre-alert the EMC, or
3. to activate the EMC.

B. If the OFDER AA and the AA responsible for the NRIR determine that no further action is necessary at that time, the NRIR will either remain open, be closed, or be archived in NRIMS, and no further action will be taken.

C. If the OFDER AA and the AA responsible for the NRIR determine that the incident may warrant the activation of the EMC, NRIMS will send a notification (pre-alert) to the EMC representatives. This notification pre-alerts the EMC representatives that there is a non-routine incident that may warrant the EMC activation.

D. If the OFDER AA and the AA responsible for the NRIR determine that the EMC needs to be activated, NRIMS will send:

1. an e-mail and a phone message to the on-call EMC representatives for each program area that instructs them where to convene or how to participate in a conference call, and
2. a second e-mail that provides the NRIR for review.

VIII. EMERGENCY MANAGEMENT COMMITTEE (EMC)

A. The EMC is comprised of senior management personnel (AA or designee) from each of the eight FSIS program offices. Each program office EMC representative has the authority to commit, as necessary, the resources of his or her respective program office in responding to the incident.

B. The EMC may be pre-alerted or activated at any time, on any day of the year, to address and manage the Agency's response to a non-routine incident involving potentially adulterated or adulterated FSIS-regulated product. In the event the incident does not result in FSIS-regulated product adulteration, the purpose of the EMC activation would be to determine how to work with other involved agencies, and how to best supply the public with information about the safety of the product.

C. The AA or the EMC representative from OFDER serves as the Incident Commander (IC). The IC coordinates the work of the EMC in response to a particular non-routine incident. Depending on the nature, scope, and complexity of the incident, the IC may designate any member of the EMC as IC to coordinate key activities critical to the management of the incident.

D. OFDER maintains an up-to-date roster of on-call EMC members, including home, work, and cell phone numbers and e-mail addresses. OFDER develops emergency incident reports (e.g., NRIRs, Situation Reports when the ESF-11 is activated) and monitors related intelligence. OFDER maintains the FSIS Situation Room and Agency preparedness plans in conjunction with the Department's Continuity of Operations Plans (COOP). In conjunction with the Department's Homeland Security Office, OFDER is FSIS' emergency incident liaison with other Federal agencies.

IX. THE WORK OF THE EMC

A. Upon activation, the EMC evaluates the information provided on the NRIR and determines what further information is needed to complete the assessment of the non-routine incident. The EMC also develops and implements an incident action plan, whose execution is monitored by the IC through NRIMS.

B. The EMC coordinates the development of responses to questions about the incident, including responses to standard questions about illness prevention, hazard detection, incident containment, and remediation. The EMC also recommends Agency actions to detect and mitigate the hazard that caused the incident, including the formation of an Incident Investigation Team (see FSIS Directive 5500.3), to investigate matters such as why FSIS regulated product is causing illnesses.

C. The IC provides progress reports to the FSIS Management Council (i.e., Office of the Administrator and AAs). All program areas are to routinely provide updates through NRIMS to assist the IC in tracking the incident response, reporting progress, and maintaining relevant documents and a chronology of events.

D. When the incident has been resolved, the IC, in conjunction with the EMC members, will deactivate the EMC and advise the Administrator and FSIS Management Council. All EMC representatives and other parties will be notified through NRIMS, and the NRIR will be closed.

X. COMPLETING FSIS FORM 5500-8 IMPACT OF NON-ROUTINE INCIDENTS ON ESTABLISHMENTS, WAREHOUSES, AND IMPORT ESTABLISHMENTS

A. Agency personnel complete FSIS Form 5500-8 to collect and submit information about the operational status of official establishments, facilities that handle FSIS-regulated products (e.g. warehouses), and import facilities affected by a non-routine incident such as an earthquake or hurricane.

NOTE: The form can be accessed through NRIMS at <http://nrims.fsis.usda.gov> and it is also available in Outlook Public Folders\All Public Folders\Agency Issuances\Forms\5000 Series.

B. OFDER will notify the appropriate EMC representatives to collect information about the operational status of establishments or facilities within their jurisdiction.

C. The EMC representative will then notify the appropriate personnel within his or her program, for example, the District Manager (DM), Import Inspection Division's (IID) Deputy Director for Operations (DDO), or the Compliance Investigation Division (CID) Regional Manager (RM), to collect the information and complete FSIS Form 5500-8, available through NRIMS.

D. To complete the 5500-8, the DM, DDO, RM, or their designees may need to contact other personnel such as Front-line Supervisors, Consumer Safety Officers, Enforcement Investigative and Analysis Officers, Investigators, Regional Import Field Officers, Import Surveillance and Liaison Officers (ISLO) or Import Inspectors. The following information is needed to complete the 5500-8:

1. the official identification numbers for non-operational establishments or facilities in OFO's or OIA's areas of responsibility;
2. the addresses of non-operational high volume distribution points (e.g., wholesale grocery suppliers or transportation centers) in OPEER's area of responsibility; and
3. the reason why the establishment or facility is not operational:
 - a. no establishment or facility personnel present;
 - b. damage from flooding;
 - c. building destroyed;
 - d. no electricity; or
 - e. other (specify).

E. The DM, DDO, RM, or their designees will complete FSIS Form 5500-8 in NRIMS.

F. After the initial submission of a completed FSIS Form 5500-8, the DM, DDO, RM, or their designees will notify OFDER through NRIMS each time there is a change in a facility's operational status. This notification should be provided no later than at the close of business each day. Daily updates are not needed if there is no change in status.



Assistant Administrator
Office of Policy, Program, and Employee Development

NRIR Process Via the NRIMS Based on Incident Information

Program Area	Incident Information Sources	FSIS Personnel with Access to the NRIMS for NRIR Development	FSIS Personnel Responsible for NRIR Review	FSIS Personnel Responsible for Approving NRIR	NRIMS Dissemination of NRIR
OA	External Federal Agencies	OFDER - Recorder	OFDER - AA	OFDER - AA	OFDER AA/EMC reps
OFDER	OA External Agencies Other Program Offices	OFDER - Recorder	AA	AA	AA/EMC Rep
OIA	Field & External Agencies IES IEPS IAS IID	IES Director IEPS Director IAS Director IID Director	IES Director IEPS Director IAS Director	IES Director IEPS Director IAS Director * *cc: DAA, Directors: IES, IEPS, IID, IAS	OIA AA OFDER AA
	Foreign Governments	Deputy Director Import (IID) Operations	Directors: IES, IEPS, IAS, IID	Directors: IES, IEPS, IAS * *cc: DAA, Directors: IES, IEP, IID, IAS	OIA AA OFDER AA
	External - (Others) Field ISLOs	Deputy Director Policy Deputy Director Operations	Director IID	Director- IID* *cc: DAA, Directors: IES, IEPS, IID, IAS	OIA AA OFDER AA

Program Area	Incident Information Sources	FSIS Personnel with Access to the NRIMS for NRIR Development	FSIS Personnel Responsible for NRIR Review	FSIS Personnel Responsible for Approving NRIR	NRIMS Dissemination of NRIR
OPEER	External Agencies or CID	CID Director and Staff	Regional Manager	Regional Manager* *cc: CID Director	OPEER AA OFDER AA
	Domestic State or Foreign Programs	Director PRS	Director PRS	Director PRS	OPEER AA OFDER AA
	ICS	Director ICS	Director ICS	Director ICS	OPEER AA OFDER AA
OPAEO	Hot Line Information	Hot Line Specialist and Manager	FSES Director	OPHS/HHSD Director	OPHS AA OFDER AA
	External Sources	Director: ECIMS, CPAO, WSS, FSES, SIPO	Director: ECIMS, CPAO, WSS, FSES, SIPO	OPAEO AA	OPAEO AA OFDER AA
OFO	External Agencies IICs FLS	District Manager	District Manager	District Manager	OFO AA OFDER AA
OPPED	IICs Industry FLS	Director: TSC, CFL, or IEIS	OFO District Manager	OFO District Manager	OFO AA OFDER AA
OPHS	External Agencies, State and Local Partners, PHEs, CCMS	HHSD Director	HHSD Director	HHSD Director	OPHS AA OFDER AA
	Laboratories, CDC Liaison	OPHS AA	OPHS AA	OPHS AA	OPHS AA OFDER AA